

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of Paul J. Carter Serial No.: not yet assigned Filed: November 15, 2000 For: EXPRESSION OF FUNCTIONAL ANTIBODY FRAGMENTS	Group Art Unit: not yet assigned Examiner: not yet assigned <div style="border: 1px solid black; padding: 5px;"> <p style="text-align: center; margin: 0;">CERTIFICATE OF EXPRESS MAILING</p> <p style="font-size: small; margin: 0;">I hereby certify that this correspondence is being deposited with the United States Postal Service "Post Office to Addressee" under 37 CFR 1.10 on the date indicated below and is addressed to: Assistant Commissioner of Patents, Washington, D.C. 20231. Express Mail Label No. EL599584238 US</p> <p style="text-align: right; margin: 0;">November 15, 2000</p> <p style="text-align: right; margin: 0;"><i>Ann Savelli</i></p> <p style="text-align: right; margin: 0;">Ann Savelli</p> </div>
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JCS31 U.S. PTO
 09/714040
 11/15/00

INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner of Patents
Washington, D.C. 20231

Sir:

Applicants submit herewith patents, publications or other information (attached hereto and listed on the attached Form PTO-1449) of which they are aware, which they believe may be material to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 CFR §1.56.

This Information Disclosure Statement:

- (a) ☒ accompanies the new patent application submitted herewith. 37 CFR §1.97(a).
- (b) ☐ is filed within three months after the filing date of the application or within three months after the date of entry of the national stage of a PCT application as set forth in 37 CFR §1.491.
- (c) ☐ as far as is known to the undersigned, is filed before the mailing date of a first Office action on the merits. Should any fee be due, the U.S. Patent and Trademark Office is hereby authorized to charge Deposit Account No. 07-0630 in the amount of \$240.00 to cover the cost of this Information Disclosure Statement. Any deficiency or overpayment should be charged or credited to this deposit account.
- (d) ☐ is filed after the first Office Action and more than three months after the application's filing date or PCT national stage date of entry filing but, as far as is known to the undersigned, prior to the mailing date of either a final rejection or a notice of allowance, whichever occurs first, and is accompanied by either the fee (\$240) set forth in 37 CFR §1.17(p) or a statement as specified in 37 CFR §1.97(e), as checked below. Should any fee be due, the U.S. Patent and Trademark Office is hereby authorized to charge Deposit Account No. 07-0630 in the amount of \$240.00 to cover the cost of this Information Disclosure Statement. Any deficiency or overpayment should be charged or credited to this deposit

account. **A duplicate of this sheet is enclosed.**

- (e) ☐ is filed after the mailing date of either a final rejection or a notice of allowance, whichever occurred first, and is accompanied by the fee (\$130) set forth in 37 CFR §1.17(i) and a statement as specified in 37 CFR §1.97(e), as checked below. **This document is to be considered as a petition requesting consideration of the information disclosure statement.** The U.S. Patent and Trademark Office is hereby authorized to charge Deposit Account No. 07-0630 in the amount of \$130.00 to cover the cost of this Information Disclosure Statement. Any deficiency or overpayment should be charged or credited to this deposit account. **A duplicate of this sheet is enclosed.**

[If either of boxes (d) or (e) is checked above, the following statement under 37 CFR §1.97(e) may need to be completed.] The undersigned states that:

- ☐ Each item of information contained in the information disclosure statement was cited in a communication mailed from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this information disclosure statement.

A list of the patent(s) or publication(s) is set forth on the attached Form PTO-1449 (Modified).

A copy of the items on PTO-1449 is supplied herewith:

- ☐ each ☒ none ☐ only those listed below:

Those patent(s) or publication(s) which are marked with an asterisk (*) in the attached PTO-1449 form are not supplied because they were previously cited by or submitted to the Office in a prior application Serial No. 08/199,268, filed February 28, 1994 and relied upon in this application for an earlier filing date under 35 USC §120.

- ☐ BLAST results enclosed:

The undersigned also wishes to bring to the attention of the Examiner BLAST results of computerized alignments of the against sequences contained in the GenBank and Dayhoff databases. The BLAST results are provided in paper form and are identified as reference "BLAST Results A-1- A-0" (GenBank) and "BLAST Results B-1 - B-0" (Dayhoff) on the PTO Form 1449. Applicant requests that these references also be considered and that the Form 1449 be initialed to indicate the Examiner's consideration of the references.

A concise explanation of relevance of the items listed on PTO-1449 is:

- ☒ not given

- ☐ given for each listed item

- ☐ given for only non-English language listed item(s) [Required]
- ☐ in the form of an English language copy of a Search Report from a foreign patent office, issued in a counterpart application, which refers to the relevant portions of the references.

The Examiner is reminded that a "concise explanation of the relevance" of the submitted prior art "may be nothing more than identification of the particular figure or paragraph of the patent or publication which has some relation to the claimed invention," MPEP §609.

While the information and references disclosed in this Information Disclosure Statement may be "material" pursuant to 37 CFR §1.56, it is not intended to constitute an admission that any patent, publication or other information referred to therein is "prior art" for this invention unless specifically designated as such.

In accordance with 37 CFR §1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 CFR §1.56(a) exists. It is submitted that the Information Disclosure Statement is in compliance with 37 CFR §1.98 and MPEP §609 and the Examiner is respectfully requested to consider the listed references.

Respectfully submitted,
GENENTECH, INC.

Date: November 15, 2000

By: 

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FORM PTO-1449

U.S. Dept. of Commerce
Patent and Trademark OfficeAtty Docket No.
P0710P1D1Serial No.
not yet assigned

LIST OF DISCLOSURES CITED BY APPLICANT

(Use several sheets if necessary)

Applicant
CarterFiling Date
15 Nov 2000Group
not yet assigned

U.S. PATENT DOCUMENTS

Examiner Initials		Document Number	Date	Name	Class	Subclass	Filing Date
	* 1	4,444,878	24.04.84	Paulus et al.			05.12.83
	* 2	4,642,334	10.02.87	Moore et al.			
	* 3	4,816,567	28.03.89	Cabilly et al.			
	* 4	4,946,778	07.08.90	Ladner et al.			03.07.89
	* 5	5,219,966	15.06.93	Bodmer, et al.			29.04.94
	* 6	5,618,920	08.04.97	Robinson et al.			03.05.95
	* 7	5,648,237	15.07.97	Carter, P.			
	* 8	5,698,417	16.12.97	Robinson et al.			
	* 9	5,698,435	16.12.97	Robinson et al.			

15531 U.S. PTO
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Examiner Initials		Document Number	Date	Country	Class	Subclass	Translation Yes	No
	*10	AU-A-27617/88	07.06.89	AUSTRALIA				
	*11	AU-B-57621/90	03.01.91	AUSTRALIA				
	*12	0338745	25.10.89	EPO				
	*13	136,907	10.04.85	EPO				
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	*15	WO 89/01783	09.03.89	PCT				
	*16	WO 89/01974	09.03.89	PCT				
	*17	WO 89/06692	27.07.89	PCT				
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	*20	WO 92/22324	23.12.92	PCT				
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Date Considered

*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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FORM PTO-1449		U.S. Dept. of Commerce Patent and Trademark Office		Atty Docket No. P0710P1D1	Serial No. not yet assigned
LIST OF DISCLOSURES CITED BY APPLICANT (Use several sheets if necessary)				Applicant Carter	
				Filing Date 15 Nov 2000	Group not yet assigned
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